

# DECLARATION AND POWER OF ATTORNEY FOR UTILITY OR DESIGN

## PATENT APPLICATION

☐ Declaration  
Submitted with Initial Filing

☒ Declaration  
Submitted after Initial Filing (surcharge  
37 CFR 1.16(e) required)

Attorney Docket No. HAR-005

First Named Inventor Wucherpfennig

### COMPLETE IF KNOWN

Application Serial Number 09/248,964

Filing Date February 12, 1999

Group Art Unit 1646

Examiner Name Not Assigned

### As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Monovalent, Multivalent, and Multimeric MHC Binding Domain Fusion Proteins and Conjugates, and Uses Therefor

(Title of the Invention)

the specification of which

☐ is attached hereto  
OR

☒ was filed on 02/12/99 as United States Application Serial Number or PCT International  
Application Number 09/248,964 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
			<input type="checkbox"/>	YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Serial Number(s)	Filing Date (MM/DD/YYYY)	
60/075,351	February 19, 1998	<input type="checkbox"/> Additional provisional application serial numbers are listed on a supplemental priority data sheet attached hereto.
60/024,007	August 16, 1996	

Declaration and Power of Attorney for Utility or Design Patent Application

Serial No.: 09/248,964

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## DECLARATION - Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c), of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Serial Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/14503	August 15, 1997	

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet attached hereto.

As a named inventor, I hereby appoint the following registered practitioners to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☐ Customer Number

OR

☒ Registered practitioner(s) name/registration number listed below



Place Customer  
Number Bar Code  
Label Here

Name	Registration Number	Name	Registration Number
Steven M. Bauer	31,481	Kurt W. Lockwood	40,704
Isabelle A.S. Blundell	43,321	Marianne McLaughlin	42,870
Michael H. Brodowski	41,640	Thomas C. Meyers	36,989
Jennifer A. Camacho	P-43,526	Joseph B. Milstein	42,897
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Jerrie L. Chiu	41,670	Edmund R. Pitcher	27,829
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Jennifer L. Dupre	41,722	Michael A. Rodriguez	41,274
John V. Forcier	42,545	Michael J. Schmelzer	43,093
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William G. Guerin	41,047	Christopher W. Stamos	35,370
Ira Heffan	41,059	Robert J. Tosti	35,393
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Douglas J. Kline	35,574	Christine C. Vito	39,061
John D. Lanza	40,060	Patrick R.H. Waller	41,418
Timothy P. Linkkila	40,702		

☐ Additional registered practitioners named on supplemental Registered Practitioner Information sheet attached hereto.

Direct all correspondence to:

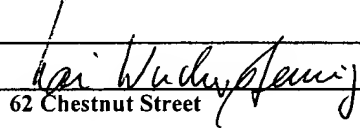
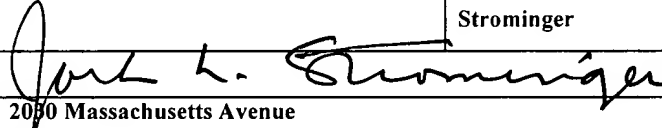
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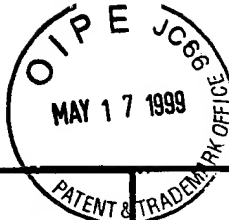
## Declaration and Power of Attorney for Utility or Design Patent Application

Serial No.: 09/248,964

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

<b>Name of Sole or First Inventor:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor							
Given Name (first and middle [if any])						Family Name or Surname			
Kai W.						Wucherpennig			
Inventor's Signature						Date		5/14/99	
Street Address		62 Chestnut Street				Citizenship		GERMAN	
		City	Brookline	State	MA	Zip	02146 02445	Country	U.S.
Post Office Address									
		City		State		Zip		Country	
<input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) attached hereto.									
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor							
Given Name (first and middle [if any])						Family Name or Surname			
Jack L.						Strominger			
Inventor's Signature						Date		5/4/99	
Street Address		2030 Massachusetts Avenue				Citizenship		U.S.	
		City	Lexington	State	MA	Zip	02421	Country	U.S.
Post Office Address									
		City		State		Zip		Country	
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor							
Given Name (first and middle [if any])						Family Name or Surname			
Inventor's Signature						Date			
Street Address						Citizenship			
		City		State		Zip		Country	
Post Office Address									
		City		State		Zip		Country	


**STATEMENT CLAIMING SMALL ENTITY STATUS**  
 (37 CFR 1.9(f) & 1.27(d)) – NONPROFIT ORGANIZATION

Attorney Docket No. HAR-005

Applicant, Patentee, or Identifier: Kai W. Wucherpenseig and Jack L. StromingerApplication or Patent No.: 09/248,964Filed or Issued: February 12, 1999Title: MONOVALENT, MULTIVALENT, AND MULTIMERIC MHC BINDING DOMAIN FUSION PROTEINS AND CONJUGATES, AND USES THEREFOR

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION President and Fellows of Harvard CollegeADDRESS OF NONPROFIT ORGANIZATION 1350 Massachusetts Avenue, Cambridge, MA 02138

## TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
 (NAME OF STATE \_\_\_\_\_)  
 (CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
 (NAME OF STATE \_\_\_\_\_)  
 (CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby state that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☒ each such person, concern, or organization is Peptimmune, Inc., 840 Memorial Drive, 3<sup>rd</sup> Floor, Cambridge, MA 02139.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING

**JOYCE BRINTON, DIRECTOR**  
**OFFICE OF TECHNOLOGY & TRADEMARK LICENSING**  
**HARVARD UNIVERSITY**

TITLE IN ORGANIZATION OF PERSON SIGNING

ADDRESS OF PERSON SIGNING

 Office for Technology & Trademark Licensing, Holyoke Center, Suite 727,  
 1350 Massachusetts Avenue, Cambridge, MA 02138

SIGNATURE

DATE

5/12/99



#4

EXPRESS MAIL LABEL NO. EL280661385US

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c))— SMALL BUSINESS CONCERN

Attorney Docket No. HAR-005

Applicant, Patentee, or Identifier: Kai W. Wucherpfennig and Jack L. Strominger  
Application or Patent No.: 09/248,964  
Filed or Issued: February 12, 1999  
Title: MONOVALENT, MULTIVALENT, AND MULTIMERIC MHC BINDING DOMAIN FUSION PROTEINS AND CONJUGATES, AND USES THEREFORE

I hereby state that I am

- ☐ the owner of the small business concern identified below:
- ☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN: Peptimmune, Inc.

ADDRESS OF SMALL BUSINESS CONCERN: 840 Memorial Drive, 3rd Floor, Cambridge, MA 02139.

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 37 CFR 1.9(d) and 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☒ each such person, concern, or organization is listed below.

President and Fellows of Harvard University, 1350 Massachusetts Avenue, Cambridge, MA 02138.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

NAME OF PERSON SIGNING

TITLE OF PERSON IF OTHER THAN OWNER

ADDRESS OF PERSON SIGNING

SIGNATURE

840 Memorial Drive, 3rd Floor, Cambridge, MA 02139

DATE

5/19/99

*Ben R. Bronstein*  
*President*

*Ben R. Bronstein*